

06/12/01  
J1036 U.S. PRO  
09/878180

PATENT  
ATTORNEY DOCKET NO.: 041514-5125

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09/878180  
06/12/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
**BOX PATENT APPLICATION**  
Washington, D.C. 20231

**TRANSMITTAL FOR A NEWLY EXECUTED ORIGINAL APPLICATION  
UNDER 37 C.F.R. §1.53(b)**

This is a request for filing a patent application under 37 C.F.R. §1.53(b) for:

Inventors: Ikuya KIKUCHI, Makoto SATO, Katsuhiro KOIKE and Takanori MAEDA

For: OBJECTIVE LENS, OPTICAL PICKUP DEVICE AND OPTICAL  
RECORDING/REPRODUCING APPARATUS

1. This is a new ☒ **Utility** ☐ **Design** ☐ **Plant** patent application.
2. The papers enclosed to obtain a filing date are as follows:
  - 20 Pages of Specification including
  - 0 Title Page
  - 3 Pages of Claims
  - 1 Page of Abstract
  - 4 Sheets of drawings containing 7 Figures
  - ☐ The enclosed drawing(s) are photograph(s), and there is also attached a  
PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)
3. Combined Declaration and Power of Attorney
  - ☐ Enclosed and is executed by all inventors.
  - ☒ Not Enclosed.

This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
Applicant(s) await notification from the Patent and Trademark Office of the time  
set for filing the Declaration and paying the filing fees.

## 4. Language

☒ English☐ Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

## 5. Assignment

☐ An assignment of the invention to \_\_\_\_\_ and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.

☒ An assignment will be filed at a later date.

## 6. Priority - foreign applications under 35 U.S.C. §119(a)-(d) or §365(b) or PCT international applications under 35 U.S.C. §365(a) designating at least one country other than the U.S.

☒ Priority of the following foreign application is claimed:

Country	Application No.	Filed
Japan	2000-175229	June 12, 2000

Certified copy: ☐ is/are attached. ☒ will follow.

## 7. Priority based on provisional application(s) - 35 U.S.C. §119(e)

☐ Priority of the following provisional application(s) is claimed:

Application No.	Filed

## A. Relate Back - 35 U.S.C. §119(e)

- ☐ Amend the specification by inserting before the first line the sentence:  
 "This application claims priority of copending provisional application(s)  
 No. \_\_\_\_\_ filed on \_\_\_\_\_."

## 8. Small entity status

- ☐ A statement claiming small entity status under 37 C.F.R. §§1.9 and 1.27 is enclosed.

## 9. Fee Calculation (37 C.F.R. §1.16)

CLAIMS FOR FEE CALCULATION				
	Number Filed	Number Extra	at Rate of	Basic Fee Utility \$710.00 Design \$320.00
Total Claims (37 C.F.R. §1.16(c))	6 - 20 =	0	\$ 18.00 each=	\$0.00
Independent Claims (37 C.F.R. §1.16(b))	3 - 3 =	0	\$ 80.00 each=	\$0.00
Multiple dependent claim(s), if any (37 C.F.R. §1.16(d))			\$270.00	+
SUB-TOTAL =				\$710.00
Reduction by 1/2 for filing by a small entity				- \$
TOTAL FILING FEE =				\$710.00

## 10. Fee Payment

- ☒ Not Enclosed. **NO FEE IS BEING PAID BY CHECK OR DEPOSIT ACCOUNT AT THIS TIME.**  
 This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
 Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.

☐ Enclosed.

Two checks in the amounts of \$\_\_\_\_\_ and \$40.00 representing the basic filing fee of \$710.00 and an assignment recording fee of \$40.00 is/are enclosed.

11. ☒ **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).

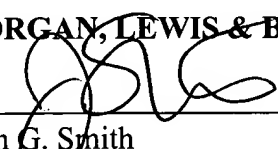
12. Additional papers enclosed:

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO-1449, \_\_\_\_\_ documents included
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

**Please accord this application an application number and filing date.**

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

  
\_\_\_\_\_  
John G. Smith  
Reg. No. 33,818

Dated: June 12, 2001

**Customer No. 009629**  
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(202) 467-7000

#5

PATENT  
ATTORNEY DOCKET NO. 041514-5125

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Ikuya KIKUCHI, et al. )  
Application No.: 09/878,180 ) Group Art Unit: 2651  
Filed: June 12, 2001 ) Examiner: Unassigned

For: OBJECTIVE LENS, OPTICAL PICKUP DEVICE AND  
OPTICAL RECORDING/REPRODUCING APPARATUS

Commissioner for Patents  
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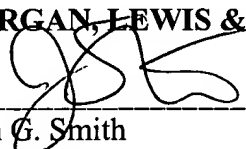
**SUBMISSION OF FORMAL DRAWINGS**

Filed herewith are four (4) sheets of formal patent drawings containing seven (7) figures. It is requested that these drawings be approved and made part of the official record in the above-identified patent application.

If there are any fees due in connection with the filing of these drawings, please charge the fees to our Deposit Account No. 50-0310. If a fee is required for an extension of time under 37 C.F.R. 1.136 not accounted for above, such an extension is requested and the fee should also be charged to our Deposit Account.

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

  
\_\_\_\_\_  
John G. Smith  
Reg. No. 33,818

Dated: October 9, 2001

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